



IFW

S&H Form: (2/01)  
DOCKET NO. 392.1889

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Shuji OGAWA, et al.

Serial No: 10/815,663

Group Art Unit: 2125

Confirmation No. 1022

Filed: April 2, 2004

Examiner: TBA

For: NUMERICAL CONTROL APPARATUS

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the Total Claims on the Official Filing Receipt be corrected. The correct Total Claims is **24**, as is evidenced by the New Application Fee Transmittal, attached to the application as filed. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

It is requested that a corrected Official Filing Receipt be issued in this application.

Respectfully submitted,

STAAS & HALSEY LLP

Date: \_\_\_\_\_

7-12-04

By: \_\_\_\_\_

John C. Garvey  
Registration No. 28,607

1201 New York Ave, N.W., Suite 700  
Washington, D.C. 20005  
Telephone: (202) 434-1500  
Facsimile: (202) 434-1501



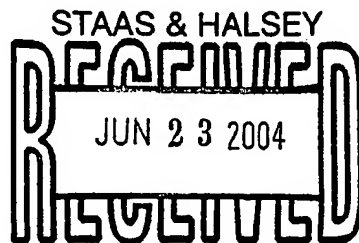
UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22303-1450  
www.uspto.gov

| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/815,663 | 04/02/2004                | 2125     | 1304          | 392.1889        | 8        | 97-24    | 5        |

CONFIRMATION NO. 1022

21171  
STAAS & HALSEY LLP  
SUITE 700  
1201 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20005



**FILING RECEIPT**



\*OC000000012990636\*

Date Mailed: 06/18/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

- Shuji Ogawa, Yamanashi, JAPAN;
- Hideo Ogino, Fujiyoshida-shi, JAPAN;

**Assignment For Published Patent Application**

- FANUC LTD, Yamanashi, JAPAN;

**Domestic Priority data as claimed by applicant**

**Foreign Applications**

- JAPAN 110122/2003 04/15/2003

If Required, Foreign Filing License Granted: 06/18/2004

Projected Publication Date: 10/21/2004

Non-Publication Request: No

Early Publication Request: No

**Title**

Numerical control apparatus

**Preliminary Class**

700

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**USPTO TO PROVIDE ELECTRONIC ACCESS TO CITED U.S. PATENT REFERENCES WITH OFFICE ACTIONS AND CEASE SUPPLYING PAPER COPIES**

In support of the 21st Century Strategic Plan goal of increased patent e-Government, beginning in June 2004, the United States Patent and Trademark Office (Office or USPTO) will begin the phase-in of its E-Patent Reference program and hence will: (1) **provide downloading capability of the U.S. patents and U.S. patent application publications cited in Office actions** via the E-Patent Reference feature of the Office's Patent Application Information Retrieval (PAIR) system; and (2) **cease mailing paper copies of U.S. patents and U.S. patent application publications with Office actions** (in applications and during reexamination proceedings) except for citations made during the international stage of an international application under the Patent Cooperation Treaty (PCT). In order to use the new E-Patent Reference feature applicants must: (1) obtain a digital certificate and software from the Office; (2) obtain a customer number from the Office; and (3) properly associate patent applications with the customer number. Alternatively, copies of all U.S. patents and patent application publications can be accessed without a digital certificate from the USPTO web site, from the USPTO Office of Public Records, and from commercial sources. The Office will continue the practice of supplying paper copies of foreign patent documents and non-patent literature with Office actions. Paper copies of cited references will continue to be provided by the USPTO for international applications during the international stage.

**Schedule**

|             |                               |
|-------------|-------------------------------|
| June 2004   | TCs 1600, 1700, 2800 and 2900 |
| July 2004   | TCs 3600 and 3700             |
| August 2004 | TCs 2100 and 2600             |

All U.S. patents and U.S. patent application publications are available on the USPTO web site. However, a simple system for downloading the cited U.S. patents and patent application publications has been established for applicants, called the E-Patent Reference system. As E-Patent Reference and Private PAIR require participating applicants to have a customer number, retrieval software and a digital certificate, all applicants are strongly encouraged to contact the Patent Electronic Business Center to acquire these items. To be ready to use this system by June 1, 2004, contact the Patent EBC as soon as possible by phone at 866-217-9197 (toll-free), 703-305-3028 or 703-308-6845 or electronically via the Internet at [ebc@uspto.gov](mailto:ebc@uspto.gov).

**Other Options**

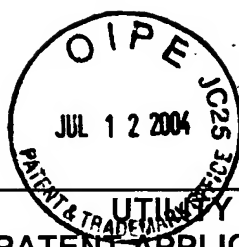
The E-Patent Reference function requires the applicant to use the secure Private PAIR system, which establishes confidential communications with the applicant. Applicants using this facility must receive a digital certificate, as described above. Other options for obtaining patents which do not require the digital certificate include the USPTO's free Patents on the Web program (<http://www.uspto.gov/patft/index.html>). The USPTO's Office of Public Records also supplies copies of patents for a fee (<http://ebiz1.uspto.gov/oems25p/index.html>). Commercial sources also provide U.S. patents and patent application publications.

*For complete instructions see the Official Gazette Notice, USPTO TO PROVIDE ELECTRONIC ACCESS TO CITED U.S. PATENT REFERENCES WITH OFFICE ACTIONS AND CEASE SUPPLYING PAPER COPIES, on the USPTO web site.*



S&amp;H Form (10/03)

| NEW APPLICATION<br>FEE TRANSMITTAL   |   | Attorney Docket No.  | 392.1889            |                                  |                  |
|--|---|----------------------|---------------------|----------------------------------|------------------|
|  |   | Application Number   | TBA                 |                                  |                  |
|  |   | Filing Date          | April 2, 2004       |                                  |                  |
| AMOUNT ENCLOSED  |   | First Named Inventor | Shuji OGAWA, et al. |                                  |                  |
| <b>FEE CALCULATION</b> (fees effective 10/01/03)   |   |                      |                     |                                  |                  |
| CLAIMS   | (1) FOR   | (2) NUMBER<br>FILED  | (3) NUMBER<br>EXTRA | (4) RATE                         | (5) CALCULATIONS |
|  | TOTAL CLAIMS  | 24 - 20 =            | 4                   | X \$ 18.00 =                     | \$ 72.00         |
|  | INDEPENDENT<br>CLAIMS   | 5 - 3 =              | 2                   | X \$ 86.00 =                     | 172.00           |
|  | MULTIPLE DEPENDENT CLAIMS (any number;<br>if applicable)                            |                      |                     | + \$290.00 =                     | \$290.00         |
|  |   |                      |                     | BASIC FILING<br>FEE              | 770.00           |
|  |   |                      |                     | Total of above<br>Calculations = | \$ 1304.00       |
|  | Surcharge for late filing fee, Oath or Declaration (37 CFR 1.53(f))<br>(\$130.00)   |                      |                     |                                  |                  |
|  | Reduction by 50% for filing by small entity (37 CFR 1.27).                          |                      |                     |                                  |                  |
|  |   |                      |                     | TOTAL FILING<br>FEE =            | \$ 1304.00       |
|  | Surcharge for filing non-English language application (\$130.00;<br>37 CFR 1.52(d)) |                      |                     |                                  |                  |
|  | Recordation of Assignment (\$40.00; 37 CFR 1.21(h))                                 |                      |                     |                                  | 40.00            |
|  |   |                      |                     | TOTAL FEES<br>DUE =              | \$ 1344.00       |
| <b>METHOD OF PAYMENT</b>   |   |                      |                     |                                  |                  |
| <input checked="" type="checkbox"/> Check enclosed as payment.   |   |                      |                     |                                  |                  |
| <input type="checkbox"/> Charge "TOTAL FEES DUE" to the Deposit Account No. below.   |   |                      |                     |                                  |                  |
| <input type="checkbox"/> No payment is enclosed and no charges to the Deposit Account are authorized at this time<br>(unless specifically required to obtain a filing date).   |   |                      |                     |                                  |                  |
| <b>GENERAL AUTHORIZATION</b>   |   |                      |                     |                                  |                  |
| <input checked="" type="checkbox"/> If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby<br>authorized to credit any overpayment or charge any additional fees necessary to:  |   |                      |                     |                                  |                  |
| Deposit Account No.  |   | 19-3935              |                     |                                  |                  |
| Deposit Account Name   |   | STAAS & HALSEY LLP   |                     |                                  |                  |
| <input checked="" type="checkbox"/> The Commissioner is also authorized to credit any overpayments or charge any additional fees<br>required under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the<br>prosecution of this application, including any related application(s) claiming benefit hereof<br>pursuant to 35 USC 120 (e.g., continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or<br>continuations/divisionals/CPAs under 37 CFR 1.53(d)) to maintain pendency hereof or of any<br>such related application. |   |                      |                     |                                  |                  |
| <b>SUBMITTED BY: STAAS &amp; HALSEY LLP</b>  |   |                      |                     |                                  |                  |
| Typed Name   | John C. Garvey  |                      |                     | Reg. No.                         | 28,607           |
| Signature  |   |                      |                     | Date                             | 4-2-04           |



S&amp;H Form: PTO/SB/05 (2/02)

**PATENT APPLICATION****TRANSMITTAL**

(Only for original applications)

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

Attorney Docket No. 392.1889

First Named Inventor or Application Identifier:  
Shuji OGAWA, et al.

Express Mail Label No.

ADDRESS TO:

**Commissioner for Patents  
Box Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450**

1. ☒ Fee Transmittal Form
2. ☒ Specification, Claims & Abstract .....[Total Pages: 30]
3. ☒ Drawing(s) (35 USC 113) .....[ Total Sheets: 8 ] [FIGS. 1-8 ]
4. ☒ Oath or Declaration .....[ Total Pages: 1 ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Verified Statement Claiming Small Entity Status
6. ☐ Application Data Sheet. See 37 C.F.R. 1.76
7. ☐ Applicant claims foreign priority benefit to: Japanese Application 2003-110122 filed April 15, 2003
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)
9. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies
10. ☐ For publication of assignee information under 37 CFR 1.215(b), list the assignee as FANUC LTD of Yamanashi, Japan. The Assignment papers will be filed later.

**ACCOMPANYING APPLICATION PARTS**

11. ☒ Assignment (cover sheet & document(s)) to FANUC LTD of Yamanashi, Japan  
☒ for publication of assignee information under 37 CFR 1.215(b)
12. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
13. ☐ English Translation Document (if applicable)
14. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
15. ☐ Preliminary Amendment
16. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
17. ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
18. ☐ Request and Certification for Nonpublication under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
19. ☐ Other:

**20. CORRESPONDENCE ADDRESS**

21171

PATENT TRADEMARK OFFICE